



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

871202-02

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address OFFICE OF SECRETARY OF STATE GEORGIA REAL ESTATE COMMISSION 40 PRYOR STREET, SW, 2nd FLOOR ATLANTA, GA 30303	Application Number 80-234-A	
Application Number		Date Received DEC 2 1987	Date Completed MAY 10 1989
2. Person to Contact Alice Black		Working Title Special Projects Coordinator	Telephone Number 656-3916
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 80-234 Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest 1974      Present		5. Records Series Title (followed by title used in office, if different) Real Estate Inactive Individual License Files	
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created? The Real Estate Commission regulates the issuance and reissuance of licenses to real estate brokers, associate brokers, and salespersons, additionally establishing rules and regulations relating to the professional conduct of the real estate profession in Georgia. It accepts complaints, reviews misconduct, investigates alleged violations of State law or Commission regulations, and takes disciplinary action against a variety of improper procedures or unfair trade practices. In addition to reporting violations to the Attorney General for action to enjoin such practices, the Commission, after proper hearing, may censure a licensee, or suspend, revoke, or refuse to renew a license to practice.  A license becomes inactive only when requested by licensee or when a broker releases a licensee without a transfer to another company. If fees are not paid the license becomes lapsed, not inactive. If the Commission revokes a license, it becomes a part of the investigation file.			
7. Record Series Description      This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to:      Requesting the inactivation of real estate licenses by holders licensed in the State of Georgia.  Included are:      -"Released/Transfer" form requesting inactivation (no form number); -Wall license -Pocket card -Education Certificates   File is arranged:      Alphabetically by name of licensee.			
8. Monthly Reference Rate      How often are records referred to which are: One to six months old <u>5</u> ; Seven to twelve months old <u>3</u> ; Thirteen to twenty-four months old <u>1</u> ; twenty-five months and older <u>1</u> <del>0</del> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>3</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

x	a. Is this the official copy of the series? If not, where is it?
x	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
x	c. Is this a vital record?
x	d. Does this series have historical or long term research value?
x	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
x	f. Is the information contained in this series ever published? If yes, attach copy.
x	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
x	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
x	i. Is this series (or a major portion of it) regularly microfilmed?
x	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 7 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need.

OCGA 43-40-12 (h). Ga. Real Estate Manual 520-1-36

Administrative Need: Verification of information for certifications. Files may have to be recalled for legal certifications.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ 1 \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 6 \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

Even though "Destroy" is not checked, we assume that this was the intended action after the records were held in the record center 6 years.

Peter E. Schinkel, RGS, 10/17/91

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Alvin M. Black	3/31/89	R. D. Warrington	3/31/89
		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	5/9/89
		Secretary of State/Designee	5/8/89
		Governor/Attorney General/Designee	5/10/89



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FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Office of Secretary of State Georgia Real Estate Commission 40- Pryor Street Atlanta, Georgia	Application Number <b>80-234</b>	
Application Number		Date Received FEB 27 1980	Date Completed MAR 19 1980
2. Person to Contact Alice Black		Working Title Supervisor	Telephone Number 656-3916
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest 1974      Present		5. Records Series Title (followed by title used in office, if different) ESTATE REAL / INACTIVE INDIVIDUAL LICENSE FILES	
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created?  The individual examining and licensing Boards establish policy governing the requirements for licensing where policy is not contained in law. They collect fees from applicants for licenses and for examinations and conduct examinations. They determine whether applicants have in fact met educational or on-the-job training requirements. The Boards issue and revoke licenses and maintain records to certify that licensees are in fact properly licensed. The Boards enforce a professional code of ethics by receiving complaints, performing investigations and presenting evidence to support or refute allegations against a licensee.			
7. Record Series Description      This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Requesting the inactivation of real estate licenses by holders licensed in the State of Georgia.  Included are: "Release/Transfer," form (no form no.) requesting inactivation, wall license, pocket card, and other supporting documents.          File is arranged: Alphabetically by name of licensee.			
8. Monthly Reference Rate      How often are records referred to which are: One to six months old <u>7</u> ; Seven to twelve months old <u>5</u> ; Thirteen to twenty-four months old <u>4</u> ; twenty-five months and older <u>2</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>1</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                  |
|--------------------------|--------------|-----------------------------------|------------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.     |
| b. Statute of limitation | _____ years. | e. Administrative need            | <u>10</u> years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.     |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Ga. Codes 84-1412

Any real estate salesperson, associate broker, or broker... may continue his license by making application therefore immediately upon ceasing work .... The fee of \$15 shall cover all fees due the commission for any period on "inactive status" for up to three years.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 2 year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 8 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

It is necessary to retain these files an additional 7 years (plus 3 required by law) for administrative purposes.

These instructions apply to all prior and future accumulations of the series.

3916

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Charles Clark</i>	2-21-80	<i>George M. OCO</i>	2-19-80
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>[Signature]</i>	3-18-80
		Secretary of State/Designee	
		<i>Carroll Hart</i>	2-13-80
		Attorney General/Designee	
		<i>[Signature]</i>	3-18-80